

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
YOR920030602US1

In Re Application Of: **Joel P. de Souza et al.**

SEP 06 2005



Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/725,850	December 2, 2003	Dao H. Nguyen	23389	2811	3232

Title: **PLANAR SUBSTRATE WITH SELECTED SEMICONDUCTOR CRYSTAL ORIENTATIONS FORMED BY LOCALIZED AMORPHIZATION AND RECRYSTALLIZATION OF STACKED TEMPLATE LAYERS**

Address to:  
**Commissioner for Patents**  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).

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(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **50-0510/IBM** as described below.
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Leslie S. Szivos, Ph.D.

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Dated: September 1, 2005

Leslie S. Szivos, Ph.D.

Reg. No. 39,394

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicants:** Joel P. de Souza et al.

**Examiner:** Dao H. Nguyen

**Serial No.:** 10/725,850

**Art Unit:** 2811

**Filed:** December 2, 2003

**Docket:** YOR920030602US1 (17242)

**For:** PLANAR SUBSTRATE WITH SELECTED  
SEMICONDUCTOR CRYSTAL  
ORIENTATIONS FORMED BY LOCALIZED  
AMORPHIZATION AND RECRYSTALLIZATION  
OF STACKED TEMPLATE LAYERS

**Dated:** September 1, 2005

**Confirmation No. 3232**

Mailstop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R §§1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

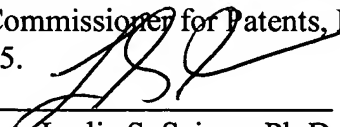
1. European Patent Application Publication No. 0331811 A2, published September 13, 1989, together with English-language abstract;
2. European Patent Application Publication No. 0535681 A2, published April 7, 1993, together with English-language abstract;

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on September 1, 2005.

Dated: September 1, 2005

  
\_\_\_\_\_  
Leslie S. Szivos, Ph.D.

3. European Patent Application Publication No. 1174928 A1, published January 23, 2002, together with English-language abstract;
4. Japanese Patent Application Publication No. 60-154548, published August 14, 1985, together with English-language abstract;
5. Japanese Patent Application Publication No. 1162362, published June 26, 1989, together with English-language abstract;
6. United States Patent Application Publication No. 2004/0195646 A1, published October 7, 2004, issued to Yeo et al.;
7. United States Patent No. 4,768,076, published August 30, 1988, issued to Aoki et al.;
8. United States Patent No. 4,816,893, published March 28, 1989, issued to Mayer et al.; and
9. United States Patent No. 4,385,937, published May 31, 1983, issued to Ohmura.

The references were cited in a Search Report dated June 3, 2005 received from the European Patent Office in connection with the corresponding PCT application. Applicants are submitting copies of the above-cited non-US references, together with a copy of the Search Report. The relevance of the above-identified references has been described in the Search Report.

In accordance with the waiver of 37 C.F.R. § 1.98 (a)(2)(i), per 1276 OG 55, August 5, 2003, applicants are not required to submit copies of the above-cited U.S. Patent references. Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(b), no statement or fee is required.

In the event that an action on the merits crosses in the mail when submitting this

Information Disclosure Statement, applicants hereby state

“That each item of information contained herein was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.”

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'LSZ', with a long horizontal line extending to the right.

Leslie S. Szivos, Ph.D.  
Registration No. 39,394

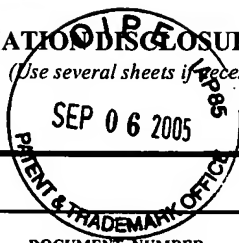
Scully, Scott, Murphy & Presser  
400 Garden City Plaza - Ste. 300  
Garden City, New York 11530  
(516) 742-4343

LSS:vh

# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

SEP 06 2005



Docket Number (Optional)

YOR920030602US1 (17242)

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10/725,850

Applicant(s)

Joel P. de Souza et al.

Filing Date

December 2, 2003

Group Art Unit

2811

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		4,768,076	8/30/1988	Aoki et al.			
		4,816,893	3/28/1989	Mayer et al.			
		4,385,937	5/31/1983	Ohmura			

## U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		2004/0195646 A1	10/7/2004				

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
		0331811 A2	9/13/1989	Europe				
		0535681 A2	4/7/1993	Europe				
		1174928 A1	1/23/2002	Europe				
		60-154548	8/14/1985	Japan				
		1-162362	6/26/1989	Japan				

## OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER

DATE CONSIDERED

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